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FACSIMILE TRANSMISSION

DATE: February 12, 2002

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FILING RECEIPT
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FROM: Scott R. Miller, Esq. **DIRECT DIAL:** (213) 229-8536

RE: Re: Oskar J. Painter, et al
Application No.: 10/037146
For: "RESONANT OPTICAL MODULATORS"
Docket No. CQC13NP (6/174)

FILE NO.: 1317-001 **USER NUMBER:** 388 **PAGES, INCLUDING COVER:** 3

MESSAGE: Dear Sir or Madam:

Attached please find the Filing Receipt for the above-identified patent application. Please note that the Domestic Priority data is incorrect, as indicated by the notations on the Filing Receipt. Please update your records to reflect the correct Domestic Priority data and reissue a corrected Filing Receipt.

If you have any questions, please feel free to contact me at the above number.

Thank you for your assistance.

Regards,

Scott R. Miller

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| APPLICATION NUMBER | FILING DATE | GRP ART UNIT | FIL FEE REC'D | ATTY. DOCKET NO | DRAWINGS | TOT CLAIMS | IND CLAIMS |
|--------------------|-------------|--------------|---------------|-----------------|----------|------------|------------|
| 10/037,146 | 12/21/2001 | 2874 | 937 | CQC13NP | 22 | 83 | 2 |

CONFIRMATION NO. 5613

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LOS ANGELES, CA 90071

FILING RECEIPT



0C000000007401624

Date Mailed: 02/01/2002

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Oskar J. Painter, Pasadena, CA;
Peter C. Sercel, Pasadena, CA;
Kerry J. Vahala, San Gabriel, CA;
David W. Vernooy, Sierra Madre, CA;
Guido Hunziker, Altadena, CA;

Domestic Priority data as claimed by applicant

THIS APPLN CLAIMS BENEFIT OF 60/257,248 12/21/2000
AND CLAIMS BENEFIT OF 60/257,218 12/21/2000
~~AND CLAIMS BENEFIT OF 60/111,484 12/07/1998~~
~~AND CLAIMS BENEFIT OF 60/100,358 11/13/1998~~
~~AND CLAIMS BENEFIT OF 60/183,499 02/17/2000~~
~~AND CLAIMS BENEFIT OF 60/226,147 08/18/2000~~
~~AND CLAIMS BENEFIT OF 60/170,074 12/09/1999~~
~~AND CLAIMS BENEFIT OF 60/257,218 12/21/2000~~
~~AND CLAIMS BENEFIT OF 60/257,248 12/21/2000~~
~~AND CLAIMS BENEFIT OF 60/301,519 06/27/2001~~
~~AND CLAIMS BENEFIT OF 60/333,236 11/23/2001~~

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Foreign Applications

If Required, Foreign Filing License Granted 01/31/2002

Projected Publication Date: 05/09/2002

Non-Publication Request: No

Early Publication Request: No

**** SMALL ENTITY ****

Title

Resonant optical modulators

Preliminary Class

385

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Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15**

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Bib Data Sheet

CONFIRMATION NO. 5613

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|--|---|--------------------------------|---|---------------------------------------|
| SERIAL NUMBER 10/037,146 | FILING DATE 12/21/2001 RULE | CLASS 385 | GROUP ART UNIT 2874 | ATTORNEY DOCKET NO. CQC13NP |
| APPLICANTS Oskar J. Painter, Pasadena, CA; Peter C. Sercel, Pasadena, CA; Kerry J. Vahala, San Gabriel, CA; David W. Vernooy, Sierra Madre, CA; Guido Hunziker, Altadena, CA; | | | | |
| ** CONTINUING DATA ***** THIS APPLN CLAIMS BENEFIT OF 60/257,248 12/21/2000 AND CLAIMS BENEFIT OF 60/257,218 12/21/2000 | | | | |
| ** FOREIGN APPLICATIONS ***** | | | | |
| IF REQUIRED, FOREIGN FILING LICENSE GRANTED ** SMALL ENTITY ** ** 01/31/2002 | | | | |
| Foreign Priority claimed <input type="checkbox"/> yes <input checked="" type="checkbox"/> no 35 USC 119 (a-d) conditions met <input type="checkbox"/> yes <input checked="" type="checkbox"/> no <input type="checkbox"/> Met after Allowance | | STATE OR COUNTRY CA | SHEETS DRAWING 22 | TOTAL CLAIMS 83 |
| Verified and Acknowledged Examiner's Signature _____ Initials _____ | | INDEPENDENT CLAIMS 2 | | |
| ADDRESS 26719 | | | | |
| TITLE Resonant optical modulators | | | | |
| FILING FEE RECEIVED 937 | FEES: Authority has been given in Paper No. _____ to charge/credit DEPOSIT ACCOUNT No. _____ for following: | | <input type="checkbox"/> All Fees <input type="checkbox"/> 1.16 Fees (Filing) <input type="checkbox"/> 1.17 Fees (Processing Ext. of time) <input type="checkbox"/> 1.18 Fees (Issue) <input type="checkbox"/> Other _____ <input type="checkbox"/> Credit | |